

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

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SECURITIES AND EXCHANGE  
COMMISSION,

No. 07-CV-6146

Plaintiff,

ECF case (PKC)

v.

THEODORE ROXFORD a/k/a LAWRENCE  
DAVID NIREN and HOLLINGSWORTH,  
ROTHWELL & ROXFORD,

Defendants.  
-----X

**DEFENDANT HOLLINGSWORTH, ROTHWELL & ROXFORD'S ("HRR")  
RULE 26(A) INITIAL DISCLOSURE**

**Pursuant to FRCP Rule 26(a)(1)(A), HRR makes the following disclosures:**

Hugh Hollingsworth, 6155 U.S. Highway #1, Melbourne, Fl. 32940, Tel. No. 321-794-2411  
Kenneth Rothwell, 61 Sheepneck Lane, Stantonville, Tenn. 38379, Tel. No. 731-632-9822  
Theodore Roxford a/k/a Lawrence David Niren, Mendoza and Buenos Aires, Argentina, email:  
troxford2000@yahoo.com

HRR also incorporates by reference herein any individuals listed on Defendant Theodore  
Roxford's Rule 26(a) disclosure.

**Pursuant to FRCP Rule 26(a)(1)(B), HRR makes the following disclosures:**

HRR is not in possession, custody or control of any documents. Notwithstanding, HRR also  
incorporates by reference herein any documents listed or produced, pursuant to Defendant  
Theodore Roxford's Rule 26(a) disclosure.

**Pursuant to FRCP Rule 26(a)(1)(C), HRR makes the following disclosures:**

Not applicable.

Pursuant to FRCP Rule 26(a)(1)(D), HRR makes the following disclosures:

None.

DATED: New York, New York  
September 24, 2007

THE ROTH LAW FIRM, PLLC

By: 

Richard A. Roth (RAR 5538)

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New York, New York 10016

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*Attorneys for Defendant Hollingsworth  
Rothwell & Roxford*

**AFFIRMATION OF SERVICE**

STATE OF NEW YORK     )  
                                      )ss.:  
COUNTY OF NEW YORK    )

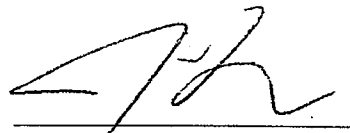
JORDAN M. KAM, ESQ., affirms under penalties of perjury:

1. I am over the age of 21 years, am not a party to this action, and reside in New York, New York.
2. On September 24, 2007, I caused the foregoing to be served by electronic mail, on counsel for Plaintiff, Sarah L. Levine, Esq., at the electronic address listed below:

levinesa@sec.gov

3. On September 24, 2007, I caused the foregoing to be served on Defendant Theodore Roxford, *Pro Se*, at the electronic address listed below:

troxford2000@yahoo.com

  
\_\_\_\_\_  
Jordan M. Kam